

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

MISHRA et al.

Application No. 09/376,487

Filed: August 18, 1999

Group Art Unit: 1617

Examiner: E. Webman

For: **INJECTABLE AQUEOUS DISPERSIONS
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INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
Washington, D.C. 20231

Pursuant to 37 CFR 1.97 and 1.98, the references listed on the enclosed Form PTO-1449 and/or Substitute Form PTO-1449 ("Form 1449") are submitted for consideration by the Examiner in the examination of the above-identified patent application.

The full consideration of the references in their entirety by the Examiner is respectfully requested and encouraged. Also, it is respectfully requested that the references be entered into the record of the present application and that the Examiner place his or her initials in the appropriate area on the enclosed Form 1449, thereby indicating the Examiner's consideration of each of the references.

The submission of the references listed on the Form 1449 is for the purpose of providing a complete record and is not a concession that the references listed thereon are prior art to the invention claimed in the patent application. The right is expressly reserved to establish an invention date earlier than the above-identified filing date in order to remove any reference submitted herewith as prior art should it be deemed appropriate to do so.

Further, the submission of the references is not to be taken as a concession that any reference represents art that is relevant or analogous to the claimed invention. Accordingly, the right to argue that any reference is not properly within the scope of prior art relevant to an examination of the claims in the above-identified application is also expressly reserved.

The Information Disclosure Statement is being filed:

- ☒ **within** any one of the following time periods: (a) within three months of the filing date of a national application other than a continued prosecution application under 37 CFR 1.53(d); (b) within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 of an international application; (c) before the mailing date of a first Office Action on the merits; or (d) before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

- ☐ **after** (a), (b), (c) or (d) above, but before the mailing date of a final action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and includes *one* of:
- ☐ the Statement under 37 CFR 1.97(e) (see "Statement under 37 CFR 1.97(e)" below).
- or*
- ☐ the fee of \$180 set forth in 37 CFR 1.17(p) (see "Fees" below).
- ☐ **after** the mailing date of a final action under 37 CFR 1.113 or a Notice of Allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and on or before payment of the issue fee, and includes the Statement under 37 CFR 1.97(e) (see "Statement under 37 CFR 1.97(e)" below), and the fee of \$180 as set forth in 37 CFR 1.17(p) (see "Fees" below).
- ☐ **after** the mailing date of a Notice of Allowance under 37 CFR 1.311, and on or before payment of the issue fee, and **within** thirty days of receiving each item of information contained in the Information Disclosure Statement, and includes the Statement under 37 CFR 1.704(d) (see "Statement under 37 CFR 1.704(d)" below), and the fee of \$180 as set forth in 37 CFR 1.17(p) (see "Fees" below).

NOTE: This is for original applications except applications for a design patent, filed on or after May 29, 2000, wherein a paper containing only an Information Disclosure Statement in compliance with 37 CFR 1.97 and 1.98 is being filed.

Copies of the References

- ☒ Copies of the references listed on the enclosed Form 1449 are enclosed herewith. With respect to References 348 and 349, Applicants have not enclosed copies of all of the mentioned documents so as not to overburden the Examiner; however, the Applicants would be pleased to provide copies of any or all of these documents upon request.
- ☐ A copy of the foreign search report is enclosed herewith.
- ☐ The references listed on the enclosed Form 1449 were previously identified in the parent application(s) of the present application, and copies of the references were furnished at that time. Accordingly, additional copies of the references are not submitted herewith, so as not to burden the file with duplicate copies of references. The Examiner is respectfully requested to carefully review the references in accordance with the requirements set out in the Manual of Patent Examining Procedure. In accordance with 37 CFR 1.98(d), the details of the parent application(s) relied upon for an earlier filing date under 35 USC 120 in which copies of the references were previously furnished are set out below:

U.S. APPLICATIONS		Status (<i>check one</i>)		
U.S. APPLICATIONS	U.S. FILING DATE	PATENTED	PENDING	ABANDONED
1.				
2.				
3.				

Statement under 37 CFR 1.97(e)

- ☐ The **undersigned** hereby states that each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of the Information Disclosure Statement.
- ☐ The **undersigned** hereby states that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

Statement under 37 CFR 1.704(d)

- ☐ The **undersigned** hereby states that each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in 37 CFR 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.

Fees

- ☒ No fee is owed by the applicant(s).
- ☐ The **IDS Fee of \$180** under 37 CFR 1.17(p) is enclosed herewith.

Method of Payment of Fees

- ☐ Attached is a check in the amount of \$.
- ☐ Charge Deposit Account No. 12-1216 in the amount of \$. (A duplicate copy of this communication is enclosed for that purpose.)

Authorization to Charge Additional Fees

- ☒ If any additional fees are owed in connection with this communication, please charge Deposit Account No. 12-1216. (A duplicate copy of this communication is enclosed for that purpose.)

In re Appln. of MISHRA et al.
Application No. 09/376,487

Instructions as to Overpayment

☒ Credit Account No. 12-1216.
☐ Refund


Respectfully submitted,



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(202) 737-6776 (facsimile)

Date: 9/27/02

IDS (Rev. 7/11/2002)

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
Substitute for form 1449A/B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>				Complete if Known		
				Application Number	09/376,487	
				Filing Date	8/18/99	
				First Named Inventor	Awadhesh K. Mishra	
				Group Art Unit	1617	
				Examiner Name	E. Webman	
Sheet	1	of	12	Attorney Docket Number		402090/SKYE PHARMA

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U.S. PATENT DOCUMENTS						
Examiner Initials	Doc. No.	U.S. Patent Document		Name of Patentee or Applicant	Date of Publication	Filing Date If Appropriate
		Application or Patent Number	Kind Code			
	1	2803582		Cherney	8/20/1957	
	2	3137631		Soloway	6/16/1964	
	3	3216897		Krantz et al.	11/9/1965	
	4	3274063		Nieper et al.	9/20/1966	
	5	3440318		Polin	4/22/1969	
	6	3594476		Merrill	7/20/1971	
	7	3715432		Merrill	2/6/1973	
	8	3755557		Jacobs	8/28/1973	
	9	3776857		Lindner	12/4/1973	
	10	3794476		Michalik et al.	2/26/1974	
	11	3937668		Zolle	2/10/1976	
	12	3960757		Morishita et al.	6/1/1976	
	13	3965255		Bloch et al.	6/22/1976	
	14	4016100		Suzuki et al.	4/5/1977	
	15	4053585		Allison et al.	10/11/1977	
	16	4073943		Wretlind et al.	2/14/1978	
	17	4078052		Papahadjopoulos	3/7/1978	
	18	4089801		Schneider	5/16/1978	
	19	4102806		Kondo et al.	7/25/1978	
	20	4107288		Oppenheim et al.	8/15/1978	
	21	4133874		Miller et al.	1/9/1979	
	22	4145410		Sears	3/20/1979	
	23	4147767		Yapel, Jr.	4/3/1979	
	24	4168308		Wretlind et al.	9/18/1979	
	25	4186183		Steck et al.	1/29/1980	
	26	4219548		Reller	8/26/1980	
	27	4235871		Papahadjopoulos et al.	11/25/1980	
	28	4241046		Papahadjopoulos et al.	12/23/1980	
	29	4271196		Schmidt	6/2/1981	
	30	4298594		Sears et al.	11/3/1981	
	31	4302459		Steck et al.	11/24/1981	
	32	4308166		Marchetti et al.	12/29/1981	
	33	4309421		Ghyczy et al.	1/5/1982	
	34	4316884		Alam et al.	2/23/1982	
	35	4320121		Sears	3/16/1982	
	36	4325871		Sasaki et al.	4/20/1982	
	37	4328222		Schmidt	5/4/1982	
	38	4329332		Couvreux et al.	5/11/1982	

Examiner Signature		Date Considered	
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- * A concise statement of relevance is being submitted in lieu of a translation. 37 CFR 1.98(a)(3).
- + An English-language equivalent/patent, or an English-language abstract, or an English-language version of the search report or action by a foreign patent office in a counterpart foreign application indicating the degree of relevance found by the foreign office is being submitted in lieu of a concise explanation of relevance under 37 CFR 1.98(a)(3).

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				Group Art Unit	1617
				Examiner Name	E. Webman
Sheet	2	of	12	Attorney Docket Number	402090/SKYEPhARMA

U.S. PATENT DOCUMENTS						
Examiner Initials	Doc. No.	U.S. Patent Document		Name of Patentee or Applicant	Date of Publication	Filing Date If Appropriate
		Application or Patent Number	Kind Code			
	39	4331654		Morris	5/25/1982	
	40	4332795		Ghyczy et al.	6/1/1982	
	41	4332796		Los	6/1/1982	
	42	4340594		Mizushima et al.	7/20/1982	
	43	4345588		Widder et al.	8/24/1982	
	44	4351831		Growdon et al.	9/28/1982	
	45	4356167		Kelly	10/26/1982	
	46	4369182		Ghyczy et al.	1/18/1983	
	47	4378354		Ghyczy et al.	3/29/1983	
	48	4394182		Maddox, III	7/19/1983	
	49	4394372		Taylor	7/19/1983	
	50	4397372		DeKraker	8/9/1983	
	51	4397846		Weiner et al.	8/9/1983	
	52	4411894		Schrank et al.	10/25/1983	
	53	4411933		Samejima et al.	10/25/1983	
	54	4421747		Ghyczy et al.	12/20/1983	
	55	4427649		Dingle et al.	1/24/1984	
	56	4448765		Ash et al.	5/15/1984	
	57	4452817		Glen et al.	6/5/1984	
	58	4474753		Haslam et al.	10/2/1984	
	59	4483847		Augart	1/20/1984	
	60	4485054		Mezei et al.	11/27/1984	
	61	4492720		Mosier	1/8/1985	
	62	4515736		Deamer	5/7/1985	
	63	4522803		Lenk et al.	6/11/1985	
	64	4529561		Hunt et al.	7/16/1985	
	65	4532089		MacDonald	7/30/1985	
	66	4588578		Fountain et al.	5/13/1986	
	67	4610868		Fountain et al.	9/9/1986	
	68	4613505		Mizushima et al.	9/23/1986	
	69	4614702		Sawada et al.	9/30/1986	
	70	4622219		Haynes	11/11/1986	
	71	4675236		Ohkawara et al.	6/23/1987	
	72	4687762		Fukushima et al.	8/18/1987	

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				Group Art Unit	1617
Examiner Name	E. Webman				
Sheet	3	of	12	Attorney Docket Number	402090/SKYEPhARMA

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Examiner Initials	Doc. No.	U.S. Patent Document		Name of Patentee or Applicant	Date of Publication	Filing Date If Appropriate
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	73	4711902		Serno	12/8/1987	
	74	4719239		Muller et al.	1/12/1988	
	75	4725442		Haynes	2/16/1988	
	76	4756910		Yagi et al.	7/12/1988	
	77	4761228		Weisenbarger et al.	8/2/1988	
	78	4762720		Jizomoto	8/9/1988	
	79	4766046		Abra et al.	8/23/1988	
	80	4776991		Farmer et al.	10/11/1988	
	81	4798846		Glen et al.	1/17/1989	
	82	4798860		Parr	1/17/1989	
	83	4800079		Boyer	1/24/1989	
	84	4801455		List et al.	1/31/1989	
	85	4803070		Cantrell et al.	2/7/1989	
	86	4806350		Gerber	2/21/1989	
	87	4806352		Cantrell	2/21/1989	
	88	4826687		Nerome et al.	5/2/1989	
	89	4839111		Huang	6/13/1989	
	90	4863737		Stanley et al.	9/5/1989	
	91	4863740		Kissel et al.	9/5/1989	
	92	4895726		Curtet et al.	1/23/1990	
	93	4937078		Mezei et al.	6/26/1990	
	94	4961890		Boyer	10/9/1990	
	95	4963362		Rahman et al.	10/16/1990	
	96	4963367		Ecanow	10/16/1990	
	97	4973465		Baurain et al.	11/27/1990	
	98	5004612		Kim et al.	4/2/1991	
	99	5023087		Yau-Young	6/11/1991	
	100	5028600		Jeppsson	7/2/1991	
	101	5030453		Lenk et al.	7/9/1991	
	102	5049388		Knight et al.	9/17/1991	
	103	5091187		Haynes	2/25/1992	
	104	5091188		Haynes	2/25/1992	
	105	5098606		Nakajima et al.	3/24/1992	

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				Group Art Unit	1617
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Sheet	4	of	12	Attorney Docket Number	402090/SKYEPhARMA

U.S. PATENT DOCUMENTS						
Examiner Initials	Doc. No.	U.S. Patent Document		Name of Patentee or Applicant	Date of Publication	Filing Date If Appropriate
		Application or Patent Number	Kind Code			
	106	5100591		Leclef et al.	3/31/1992	
	107	5118493		Kelley et al.	6/2/1992	
	108	5128147		Leveen et al.	7/7/1992	
	109	5132114		Stanley et al.	7/21/1992	
	110	5133965		Fountain	7/28/1992	
	111	5145684		Liversidge et al.	9/8/1992	
	112	5147884		Diehl et al.	9/15/1992	
	113	5152923		Weder et al.	10/6/1992	
	114	5167950		Lins	12/1/1992	
	115	5179079		Hansen et al.	1/12/1993	
	116	5188837		Domb	2/23/1993	
	117	5217707		Szabo et al.	6/8/1993	
	118	5227165		Domb et al.	7/13/1993	
	119	5234634		Janoff et al.	8/10/1993	
	120	5234767		Wallach	8/10/1993	
	121	5244925		Wretlind et al.	9/14/1993	
	122	5246707		Haynes	9/21/1993	
	123	5256422		Albert et al.	10/26/1993	
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	125	5264207		Bommelaer et al.	11/23/1993	
	126	5269979		Fountain	12/14/1993	
	127	5288497		Stanley et al.	2/22/1994	
	128	5288498		Stanley et al.	2/22/1994	
	129	5294604		Nussenblatt et al.	3/15/1994	
	130	5298262		Na et al.	3/29/1994	
	131	5302401		Liversidge et al.	4/12/1994	
	132	5308874		Sanchez et al.	5/3/1994	
	133	5314915		Rencher	5/24/1994	
	134	5326552		Na et al.	7/5/1994	
	135	5332576		Mantelle	7/26/1994	
	136	5336507		Na et al.	8/9/1994	
	137	5338761		Nakajima et al.	8/16/1994	

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				Group Art Unit	1617
				Examiner Name	E. Webman
Sheet	5	of	12	Attorney Docket Number	402090/SKYEPhARMA

U.S. PATENT DOCUMENTS						
Examiner Initials	Doc. No.	U.S. Patent Document		Name of Patentee or Applicant	Date of Publication	Filing Date If Appropriate
		Application or Patent Number	Kind Code			
	138	5340588		Domb	8/23/1994	
	139	5346702		Na et al.	9/13/1994	
	140	5352459		Hollister et al.	10/4/1994	
	141	5364633		Hill et al.	11/15/1994	
	142	5376646		Pittrof et al.	12/27/1994	
	143	5378451		Gorman et al.	1/3/1995	
	144	5389377		Chagnon et al.	2/14/1995	
	145	5399363		Liversidge et al.	3/21/1995	
	146	5407609		Tice et al.	4/18/1995	
	147	5409698		Anderson et al.	4/25/1995	
	148	5429824		June	7/4/1995	
	149	5446070		Mantelle	8/29/1995	
	150	5447710		Na et al.	9/5/1995	
	151	5451408		Mezei et al.	9/19/95	
	152	5461080		Sanchez et al.	10/24/1995	
	153	5496537		Henry	3/5/1996	
	154	5496811		Aviv et al.	3/5/1996	
	155	5496818		Schaupp et al.	3/5/1996	
	156	5498420		Mentrup Edgar et al.	3/12/1996	
	157	5498421		Grinstaff et al.	3/12/1996	
	158	5508275		Weithmann et al.	4/16/1996	
	159	5510118		Bosch et al.	4/23/1996	
	160	5518187		Bruno et al.	5/21/1996	
	161	5518730		Fuisz	5/21/1996	
	162	5527537		Dietl	6/18/1996	
	163	5534270		De Castro	7/9/1996	
	164	5536413		Bormann et al.	7/16/1996	
	165	5545628		Deboeck et al.	8/13/1996	
	166	5556580		Suddith	9/17/1996	

Examiner Signature		Date Considered	
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+

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Complete if Known

Application Number	09/376,487
Filing Date	8/18/99
First Named Inventor	Awadhesh K. Mishra
Group Art Unit	1617
Examiner Name	E. Webman
Attorney Docket Number	402090/SKYEPhARMA

Sheet	6	of	12
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[illegible]

Date Considered

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
Substitute for form 1449A/B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)				Complete if Known	
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Sheet	7	of	12	Attorney Docket Number	402090/SKYEPhARMA

U.S. PATENT DOCUMENTS						
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		Application or Patent Number	Kind Code			
	187	5645856		Lacy et al.	7/8/1997	
	188	5648375		Abraham	7/15/1997	
	189	5651982		Marx	7/29/1997	
	190	5651991		Sugiyama et al.	7/29/1997	
	191	5656280		Herb et al.	8/12/1997	
	192	5656286		Miranda et al.	8/12/1997	
	193	5656289		Cho et al.	8/12/1997	
	194	5658583		Zhang et al.	8/19/1997	
	195	5660837		Lundquist	8/26/1997	
	196	5660854		Haynes et al.	8/26/1997	
	197	5660858		Parikh et al.	8/26/1997	
	198	5662932		Amselem et al.	9/2/1997	
	199	5665380		Wallach et al.	9/9/1997	
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	201	5667809		Trevino et al.	9/16/1997	
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Substitute for form 1449A/B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>				Complete if Known	
				Application Number	09/376,487
				Filing Date	8/18/99
				First Named Inventor	Awadhes K. Mishra
				Group Art Unit	1617
				Examiner Name	E. Webman
Sheet	8	of	12	Attorney Docket Number	402090/SKYEPhARMA

U.S. PATENT DOCUMENTS						
Examiner Initials	Doc. No.	U.S. Patent Document		Name of Patentee or Applicant	Date of Publication	Filing Date if Appropriate
		Application or Patent Number	Kind Code			
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				First Named Inventor	Awadhesh K. Mishra
				Group Art Unit	1617
				Examiner Name	E. Webman
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		Application or Patent Number	Kind Code			
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				Group Art Unit	1617
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Group Art Unit	1617
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Examiner Initials	Doc. No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number (s), publisher, city and/or country where published.	Translation	
			Yes	No**
	348	Letter regarding Collection/Validity Search of Amphiphilic Lipid-Coated Drug Formulations dated November 3, 2000		
	349	Letter regarding Collection/Validity Search of Surface-Stabilized Particles dated November 6, 2000.		

Date Considered

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